DEPARTMENT OF HEALTH AND HUMAN SERVICES (HHS)
Administration on Aging (AoA)

Performance Outcome Measures Project (CFDA No. 93.048)
FY 2002 Program Announcement and Application Instructions (AoA-02-09)
(NOTE: For both competitions under this announcement, eligibility is limited to State Agencies on Aging.)
Deadline date for the submission of applications: July 29, 2002

I. BACKGROUND AND PRIORITY AREA DESCRIPTION

A. Background

1. **Summary.** The Administration on Aging announced in the *Federal Register* on June 12, 2002 that it will hold a competition for cooperative agreements to support: 1) statewide surveys of program performance with State Agencies on Aging, and 2) the continued development of performance outcome measures. The accompanying set of materials includes a description of the priority area and all of the instructions necessary to prepare and submit a proposal to compete for these project awards.

2. **Statutory Authority.** The statutory authority for grants and cooperative agreements under this program announcement is contained in Title IV of the Older Americans Act, (42 U.S.C. 3001 et seq.), as amended by the Older Americans Act Amendments of 2000 (P.L. 106-501).

3. **Application Due Date.** The *deadline date* for the submission of applications under this program announcement is July 29, 2002

4. **Project Funding, Duration and Match.** There will be two separate competitions under this announcement. Under the first competition, for statewide surveys, AoA expects to enter into cooperative agreements of up to $50,000 with up to 15 state agencies on aging. Under the second competition, for the development of performance outcome measures, AoA expects to enter into cooperative agreements of up to $30,000 with up to 10 states. Recipients are required to cover at least 25% of the total program costs from non-federal cash or in-kind resources (see instructions on AoA match requirement in Section III.A).

5. **Eligible Applicants.** For both competitions under this announcement, eligibility is limited to State Agencies on Aging. Under competition 1) **statewide surveys**, States may work with a contractor designated by the Administration on Aging (AoA), or choose a different organization with necessary survey research capabilities. Applications must clearly identify the organization charged with sampling and data collection and include evidence of qualifications and collaboration. Under competition 2) **development of performance outcome measures**, States must collaborate with one or more Area Agencies on Aging. For state agencies that function as a single planning and service area, applications must reflect substantial collaboration with one or more provider agencies. Also under the second

competition, which is intended to continue the process of developing performance outcome measures, applications must identify the organizations (state agencies or area agencies on aging) that will complete the data collection, as well as the organizations that will participate in the development of measures.

States may apply under one or both competitions.

6. **Priority Target Populations and Organizations.** Although only State agencies on aging are eligible to apply, sampling methods should ensure that disadvantaged populations are included in all surveys, and that such characteristics are measured**.**

7. **For Further Information**. Contact: David Bunoski, U.S. Administration on Aging, 330 Independence Avenue, S.W., Room 4260, Washington, DC 20201, telephone: (202) 260-0669, e-mail: david.bunoski@aoa.gov.

8. **Letters of Commitment From Key Participating Organizations and Agencies.** Letters of commitment by key collaborating organizations and agencies (eg: area agencies on aging and research entities) are required under this announcement. Include confirmation of the commitments to the project (should it be funded) in this part of the application. Any organization that is specifically named to have a significant role in carrying out the project should be considered a key collaborating organization.

II. INSTRUCTIONS FOR COMPLETING THE PROJECT NARRATIVE

The Project Narrative is the most important part of the application, since it will be used as the primary basis by AoA to determine whether or not the project meets the minimum requirements for grants and cooperative agreements under Title IV of the Older Americans Act.

The Government Performance and Results Act (GPRA) requires federal agencies to use performance measurement, and particularly outcome measures, to improve the performance of Federal programs. Over the last four years, AoA has sponsored a performance outcome measures project for Older Americans Act (OAA) programs. This cooperative effort with state and area agencies has produced a core set of performance measurement surveys. Survey instruments have been developed to identify elements of service quality for critical OAA services through a consumer assessment methodology. Surveys also measure special “needs” characteristics of the people who receive services, such as, nutritional risk, physical functioning, emotional well being, and social functioning. Other measurement surveys address the adequacy and benefits of the services that support family caregivers. AoA and state and local project participants are also developing surveys to measure the performance of the “aging network” in reducing barriers to services and building the capacity of the aging services system.

Because of AoA and state efforts under this project, AoA will soon be able to use the results of this project to meet its performance outcome measurement requirements under the GPRA and the OAA. AoA has entered into a contract with a survey research firm to conduct a series of national surveys using the survey questionnaires developed under the performance outcomes measures project. Although the national surveys will provide valuable data to measure performance for OAA programs as a whole, the surveys will not provide state-level data.

Project Objectives and Activities

It is the purpose of the first part of this competition to provide states with the opportunity to conduct performance outcome measure surveys at the state level. The survey research firm conducting the national surveys for AoA could, with support provided under this cooperative agreement, also conduct statewide performance outcome measures surveys at the state level. Or state entities could make arrangements with other entities for the same purpose.

To ensure that AoA and state and local entities continue to develop methods and processes for OAA programs, AoA also seeks to continue the development of performance outcome measures and related survey instruments and methods. As in the past, AoA will provide funding to states to participate in the development and refinement of questionnaires developed under the project, and to field-test the measures in partnership with one or more area agencies.

<u>Awardees Responsibilities</u>

1) Under the competition for funding for **statewide surveys**, states must:

- Identify the types of services they wish to assess through statewide surveys. The service areas that are eligible for surveying under this announcement are:
    - home-delivered meals;
    - congregate meals;
    - caregiver support;
    - transportation;
    - information and assistance, and
    - home care satisfaction.

For the home-delivered meals, transporation and home-care satisfaction, surveys must include the (POMP) questions on physical functioning. States must propose to conduct surveys in at least three of the service areas. AoA is most interested in surveys related to: home-delivered meals, caregiver support, and transportation.

States with relatively small client populations may propose to conduct four surveys to obtain maximum funding. Depending on the size of the state in terms of client population, we estimate that each survey will cost between $15,000 and $22,000. (This estimate takes into account both the Federal share and the State match).

AoA encourages applicants to work with the survey research firm. AoA has elected to conduct national surveys using the same questionnaires and methodologies. States may, however, use different survey research firms of their choosing. If so, applications must clearly identify the organization, describe the organization's survey research capabilities, and assure that the organization will cooperate with AoA and its agents in methodology and data collection. Also, to assure that sampling methodology will produce data that are comparable to the national surveys, before the collection of data under the cooperative agreement, states must submit a description of the sampling methodology- including the steps necessary to arrive at a sampling frame – for agreement by AoA.

This description must include details about how the state will work with area agencies within the state to develop master lists of clients who receive a given service. States with a large number of area agencies will likely take a two-step approach to developing a sampling frame- to first develop a sample of area agencies within the state, and the second to develop a sample of clients from those area agencies' master client lists. Smaller states will determine a sample based on master client lists from all area agencies within the state.

States must specify the approximate size of the sample. While the actual size will depend upon the total number of individuals who receive a particular service within the state, we anticipate that average sample sizes for most states will include 375 individuals per survey, and that sample sizes for larger states will include 480 individuals per survey. Final sample size determinations are also subject to AoA agreement prior to the collection of data. AoA has published sampling methods and information on the performance outcome measures website: www.gpra.net. AoA will also provide technical assistance on sampling and other technical matters in the same manner that AoA supported agencies under the performance outcome measures project.

States must also describe the processes by which they will transfer funds to a survey research firm and monitor the progress of the surveys.

States have the option of omitting some of the questions from the survey questionnaires so long as core survey questions are used. Through technical assistance under the cooperative agreement, AoA will make determinations on a case-by-case basis where states request the use of less than the full complement of survey questions in a given program area.

Data must be shared with the Administration on Aging for its use in compliance with the Government Performance and Results Act and the Older Americans Act. Aggregate, weighted data is to be shared with AoA, and will not contain identifying information, such as names, addresses or social security numbers.

2) Under the competition for funding for the **performance outcome measures project** states must:

- Work collaboratively to continue to refine the current measures;

- Work collaboratively to develop new measures in additional areas as determined by consensus of agencies involved in the project, federal staff and contractor staff;
- Agree to share data with the Administration on Aging for use in GPRA compliance;
- Adopt and test at least four measures previously development under the project, and share the data. Please refer to the documentation at the web site www.gpra.net for the current performance outcome measures now being field-tested.

Support Contract

AoA will contract with a national research corporation to support the efforts of both the statewide surveys and the performance outcome measures project. This corporation will provide research expertise in the development of the performance outcome measures; technical assistance to project sites in sampling and data collection methodology; tools – such as computerized data bases – for uniform data storage and transfer; and data analysis services for project sites and AoA. Current project sites have reported that the support and assistance available through AoA and the research corporation have been instrumental resources that make possible the collection of useful data.

Consistency of measurement methodology and sampling and data collection techniques is important to assure that data are comparable. Project sites selected are expected to implement performance outcome measures consistent with recommendations made by AoA and the research corporation, as developed through consensus among current project sites. Again, documentation of sampling and data-collection methodologies, as well as, the computerized tools developed under the project is available at the web site www.gpra.net.

Part II. Guidelines for Preparing and Submitting the Application

Part II contains guidelines for State Agencies on Aging in preparing and submitting applications for funding under these program priority competitions. Application forms are also provided along with instructions for preparing the application package for submittal to AoA.

1. Review Process and Considerations for Funding
   a. Notification: All applicants will be notified of the receipt of their application and informed of the identification number assigned to it.
   b. Expert Review: Applications that conform to the requirements of this program announcement will be reviewed and scored competitively against the evaluation criteria specified in Section V. This independent review of applications is performed by a panel consisting of qualified persons from outside the federal government and knowledgeable federal agencies.

III. INSTRUCTIONS FOR COMPLETING STANDARD FORMS

This section provides step-by-step instructions for completing the four (4) standard federal forms required by as part of your grant application, including special instructions for completing Standard Budget Forms 424 and 424A. Standard Forms 424 and 424A are used for a wide variety of federal grant programs, and federal agencies have the discretion to require some or all of the information on these forms. AoA does not require all the information on these Standard Forms. Accordingly, please use the instructions below in lieu of the standard instructions attached to SF 424 and 424A to complete these forms. Please note that single-sided copies of all required forms must be used in submitting your application.

A. Standard Form 424

Item 1. Mark "Non-Construction" under "Application".

Item 2. Fill in the date you submit the application. The three "Identifier" boxes to the right of Items 2 through 4 should be left blank.

Item 3. Not applicable – Mark "NA".

Item 4. Leave blank.

Item 5. Enter the legal name of the applicant organization; the name of the primary organizational unit responsible for managing the project; the applicant's address; and the name and telephone number of the person to contact on matters related to this application.

Item 6. Enter the Employer Identification Number (EIN) of the applicant organization that has been assigned to the organization by the Internal Revenue Service. Please include the suffix to the EIN if known.

Item 7. Enter the appropriate letter in the box provided.

Item 8. Check the "New" box.

Item 9. Enter - Administration on Aging

Item 10. Enter – 93.048

Item 11. Enter the title of the project.

Item 12. List only one entity - it should be the largest political entity affected.

Item 13. Enter the start and end date for the upcoming budget period for the project. (NOTE: The start date usually coincides with the date AoA issues the grant award to the applicant organization, with the end date usually being 12 months later.)

Item 14. Enter the Congressional District(s) affected by the project.

Item 14a.Enter the Congressional District where the applicant organization is located.

Item 14b. Leave Blank

Item 15. **NOTE:** Applicants should review cost sharing or matching principles contained in Subpart C of 45 CFR Part 74 or 45 CFR Part 92 before completing Item 15 and the Budget Information Sections A, B and C noted below.

All budget information entered under item 15 should cover the upcoming budget period. For sub-item 15a, enter the federal funds being requested. Sub-items 15b-15e are considered matching funds. The dollar amounts entered in sub-items 15b-15f must total at least $1/3^{rd}$ of the amount of federal funds being requested (the amount in 15a). For a full explanation of AoA's match requirements, see the information in the box below. For sub-item 15f, enter only the amount, if any, that is going to be used as part of the required match.

There are three types of match: 1.) non-federal cash; 2.) non-federal non-cash (i.e., in-kind); and program income. In general, costs borne by the applicant and cash contributions of any and all third parties involved in the project, including sub-grantees, contractors and consultants, are consider cash matching funds. Generally, most contributions from third parties will be non-cash (i.e., in-kind) matching funds. Examples of non-cash (in-kind) match include: volunteered time and use of facilities to hold meetings or conduct project activities. A third form of non-federal match is projected program income derived from activities of the project such as participant fees and sale of publications. Only program income that is to be used as part of the required match should be shown on Line 15.

AOA's Match Requirement

Under this and other OAA programs, AoA will fund no more than 75 % of the project's total cost, which means the applicant must cover at least 25% of the project's total cost with non-federal resources. In other words, for every three (3) dollars received in federal funding, the applicant must contribute at least one (1) dollar in non-federal resources toward the project's total cost (i.e., the amount on line 15g.). This "three-to-one" ratio is reflected in the following formula which you can use to calculate your minimum required match:

$$\frac{\textbf{Federal Funds Requested (i.e., amount on line 15a)}}{\textbf{3}} = \textbf{Minimum Match Requirement}$$

For example, if you request $100,000 in federal funds, then your <u>minimum</u> match requirement is $100,000/3 or $33,333.

A common error applicants make is to match 25% of the federal share, rather than 25% of the project's total cost, so be sure to use one of the formulas above to calculate your match requirement.

If the required non-federal share is not met by a funded project, AoA will disallow any unmatched federal dollars.

<u>Item 16</u>. Check b. No - Program is not covered by E.O. 12372

<u>Item 17</u>. This item applies to the applicant organization. Categories of debt include delinquent audit disallowances, loans, and taxes.

<u>Item 18</u>. To be signed by the authorized representative of the applicant organization. A document attesting to that sign-off authority must be on file in the grantee's office.

B. Standard Form 424A

NOTE: Standard Form 424A is designed to accommodate applications for multiple grant programs; thus, for purposes of this AoA program, many of the budget item columns and rows are not applicable. For your convenience, these non-applicable columns and rows have been shaded-out on the form. You should only consider and respond to the budget items for which guidance is provided below.

Section A - Budget Summary

Line 5: Leave columns (c) and (d) blank. Enter TOTAL federal costs in column (e) and total non-federal costs (including third party in-kind contributions and any program income to be used as part of the grantee match) in column (f). Enter the sum of columns (e) and (f) in column (g).

Section B - Budget Categories

Column 3: Enter the breakdown of how you plan to use the federal funds being requested by object class category (see instructions for each object class category below).

Column 4: Enter the breakdown of how you plan to use the non-federal share by object class category.

Column 5: Enter the total funds required for the project (the sum of Columns 3 and 4) by object class category.

Separate Budget Justification Requirement

You must submit a separate budget justification as part of your application. **A blank sample format (and one with examples) has been included in the attachments for your use in developing and presenting your Budget Justification.** In your budget justification, you should include a breakdown of the budget which shows the costs for all of the object class categories noted in Section B, across three columns: federal; non-federal cash; and non-federal in-kind. The justification should fully explain and justify the costs in each of the major budget items for each of the object class categories, as described below. Third party in-kind contributions and program income designated as non-federal match contributions should be clearly identified and justified separately from the justification for the budget line items. The full budget justification should be included in the application immediately following the SF 424 forms.

Line 6a: Personnel: Enter total costs of salaries and wages of applicant/grantee staff. Do not include the costs of consultants; consultant costs should be included under 6h - Other. In the Justification: Identify the project director, if known. Specify the key staff, their titles, brief summary of project related duties, and the percent of their time commitments to the project in the budget justification.

Line 6b: Fringe Benefits: Enter the total costs of fringe benefits unless treated as part of an approved indirect cost rate. In the Justification: Provide a break-down of amounts and percentages that comprise fringe benefit costs, such as health insurance, FICA, retirement insurance, etc.

Line 6c: Travel: Enter total costs of out-of-town travel (travel requiring per diem) for staff of the project. Do not enter costs for consultant's travel - this should be included in line 6h. In the Justification: Include the total number of trips, destinations, purpose, length of stay, subsistence allowances and transportation costs (including mileage rates).

Line 6d: Equipment: Enter the total costs of all equipment to be acquired by the project. For all grantees, "equipment" is non-expendable tangible personal property having a useful life of more than two years and an acquisition cost of $5,000 or more per unit. If the item does not meet the $5,000 threshold, include it in your budget under Supplies, line 6e. In the Justification: Equipment to be purchased with federal funds must be justified as necessary for the conduct of the project. The equipment must be used for project-related functions; the equipment, or a reasonable facsimile, must not be otherwise available to the applicant or its sub-grantees. The justification also must contain plans for the use or disposal of the equipment after the project ends.

Line 6e: Supplies: Enter the total costs of all tangible expendable personal property (supplies) other than those included on line 6d. In the Justification: Provide general description of types of items included.

Line 6f: Contractual: Enter the total costs of all contracts, including procurement contracts (except those which belong on other lines such as equipment, supplies, etc.). Also include any contracts with organizations for the provision of technical assistance. Do not include payments to individuals on this line. In the Justification: Attach a list of contractors indicating the name of the organization, the purpose of the contract, and the estimated dollar amount. If the name of the contractor, scope of work, and estimated costs are not available or have not been negotiated, indicate when this information will be available. **Whenever the applicant/grantee intends to delegate a substantial part (one-third, or more) of the project work to another agency, the applicant/grantee must provide a completed copy of Section B, Budget Categories for each contractor, along with supporting information and justifications.**

Line 6g: Construction: Leave blank since construction is not an allowable cost under this AoA program.

Line 6h: Other: Enter the total of all other costs. Such costs, where applicable, may include, but are not limited to: insurance, medical and dental costs (i.e. for project volunteers this is different from personnel fringe benefits); non-contractual fees and travel paid directly to *individual* consultants; local transportation (all travel which does not require per diem is considered local travel); postage; space and equipment rentals/lease; printing and publication; computer use; training and staff development costs (i.e. registration fees). If a cost does not clearly fit under another category, and it qualifies as an allowable cost, then rest assured this is where it belongs. In the Justification: Provide a reasonable explanation for items in this category. For individual consultants, explain the nature of services provided and the relation to activities in the work plan. Describe the types of activities for staff development costs.

Line 6i: Total Direct Charges: Show the totals of Lines 6a through 6h.

Line 6j: Indirect Charges: Enter the total amount of indirect charges (costs), if any. If no indirect costs are requested, enter "none." Indirect charges may be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency; or (2) the applicant is a state or local government agency. State governments should enter the amount of indirect costs determined in accordance with DHHS requirements

Line 6k: Total: Enter the total amounts of Lines 6i and 6j.

Line 7: Program Income: As appropriate, include the estimated amount of income, if any, you expect to be generated from this project that you wish to designate as match (equal to the amount shown for Item 15(f) on Form 424). **Note:** Any program income indicated at the bottom of Section B and for item 15(f) on the face sheet of Form 424 will be included as part of non-Federal match and will be subject to the rules for documenting completion of this pledge. If program income is expected, but is not needed to achieve matching funds, **do not** include that portion here or on Item 15(f) of the Form 424 face sheet. Any anticipated program income that will not be applied as grantee match should be described in the Level of Effort section of the Program Narrative.

Section C - Non-Federal Resources

Line 12: Enter the amounts of non-Federal resources that will be used in carrying out the proposed project, by source (Applicant; State; Other) and enter the total amount in Column (e). Do not include program income unless it is used to meet the match requirement. Keep in mind that if program income used to meet the match requirement and the projected level of program income is not met, thereby decreasing the level of match, the amount of federal funds available to the grantee may be reduced if the match falls below required levels.

Section D - Forecasted Cash Needs - Not applicable.

Section E - Budget Estimate of Federal Funds Needed for Balance of the Project

Line 20: NOTE: Leave this line blank. Section E is relevant only for **multi-year** grant applications, where the project period is 24 months or longer. This section does not apply to grant awards where the project period is less than 17 months.

Section F - Other Budget Information

Line 22: Indirect Charges: Enter the type of indirect rate (provisional, predetermined, final or fixed) to be in effect during the funding period, the base to which the rate is applied, and the total indirect costs. **Include a copy of your current Indirect Cost Rate Agreement.**

Line 23: Remarks: Provide any other comments deemed necessary.

C. Standard Form 424B - Assurances

SF 424 B, Assurances—Non-Construction Programs, contains assurances required of applicants. Please note that a duly authorized representative of the applicant organization must certify that the organization is in compliance with these assurances.

D. Standard Form CD-511 – Certifications

Certifications are required of the applicant regarding: (a) lobbying; (b) debarment, suspension, and other responsibility matters; and (c) drug-free workplace requirements. Please note that a duly authorized representative of the applicant organization must attest to the applicant's compliance with these certifications.

E. Project Summary Description

The project summary description (page one) begins the substantive part of the application. It should be headed by two identifiers: (1) the name of the applicant organization as shown in SF 424, item 5, and (2) the program priority, either "Statewide Telephone Surveys for Performance Measurement," or "Performance Outcome Measures Project." Please limit the summary description to one page with a maximum of 1,200 characters, including words, spaces and punctuation. If states seek funding under both priorities, provide a separate project summary description for each.

Be specific and succinct. Outline the objectives of the project, the approaches to be used and the outcomes expected. At the end of the summary, list major products that will result from the proposed project (such as manuals, data collection instruments, training packages, audio-visuals, software packages, and data to be transmitted to AoA). The project summary description, together with the information on the SF 424 becomes the project "abstract" which is entered into AoA's computer data base. The project description provides the reviewer with an introduction to the substantive parts of the application. Therefore, care should be taken to produce a summary, which accurately and concisely reflects the proposal.

F. Program Narrative

The Program Narrative is the critical part of the application. It should be clear, concise and responsive to the program priority as described above under Section E. The narrative should cover: (A) the project's purposes(s), relevance, significance, and responsiveness to the program priority; (B) the workplan/approaches (as) the project will follow to achieve its purposes (s); (C) the anticipated outcomes/results/benefits of the project and how these will be disseminated and utilized, and; (D) the level of effort needed to carry out the project, in terms of the project director and other key staff, funding and other resources.

IV. APPLICATION SCREENING CRITERIA

Applicants must be State Agencies on Aging.

In order for an application to be reviewed, it must meet the following screening requirements:

1. Applications must be postmarked by midnight, July 29, 2002, or hand-delivered by 5:30 p.m. Eastern Time, on July 29, 2002, or submitted electrically by midnight, July 29, 2002.

   Electronic submissions must be sent to: http://www.aoa.gov/egrants. NOTE: For electronic submissions, the required signature form must be postmarked by midnight, July 29, 2002, or hand-delivered by 5:30 p.m., Eastern Time, on July 29, 2002.

   Paper submissions must be sent or hand-delivered to:

   Department of Health and Human Services
   Administration on Aging
   Office of Grants Management
   330 Independence Avenue, SW
   Cohen Bldg., Room 4260
   Washington, DC 20201
   Attention: Margaret A. Tolson, Director

V. APPLICATION REVIEW PROCESS AND EVALUATION CRITERIA

An independent review panel of at least three individuals will evaluate applications that pass the screening. These reviewers are experts in their field, and are drawn from academic institutions, non-profit organizations, state and local government, and federal government agencies other than AoA. Based on the specific programmatic considerations set forth above in the priority area, the reviewers will comment on and score the applications, focusing their comments and scoring decisions on the criteria below.

In making final decisions, the Administration on Aging may take into account such factors as geographic distribution of project sites; coverage of minority and other priority populations; mix of urban, suburban and rural areas; and features of a state's program of services under the Older Americans Act (to assure that services related to specific performance outcome measures are available in a given state).

Applications are scored by assigning a maximum of 100 points across four criteria:

1. Purpose and Need for Assistance — Weight: 20 points

   a. Does the proposed project clearly and fully respond to the substantive components of the program announcement regarding the functions and activities of the program priority? Specifically, does the application describe the state's need for and use of performance information in the context of managing and improving supportive service programs for older Americans? (10 points).

   b. Does the project proposal adequately and appropriately describe and document the condition(s) relevant to its purposes? Is the proposed project justified in terms of the use of performance information developed under the project? (10 points)

2. Approach, Work Plan and Activities — Weight: 40 points

   a. Is project workplan clear and comprehensive? Does it systematically include specific objectives and tasks in a feasible and effective approach to the collection of performance information? (10 points)

   b. Is a well-ordered and sensible timeline for the accomplishment of tasks, deliverables and objectives represented? Are the sequence and timing of events logical and realistic? (10 points)

   c. Are the roles and contributions of project staff, consultants, and collaborative organizations clearly defined and linked to specific objectives and tasks? (10 points)

   d. Does the workplan specify who would be responsible for specific tasks and deliverable items, including: leadership of the project; preparation of reports and products; and communications with organizations collaborating on the project, including AoA? (10 points)

3. Project Outcomes, Evaluation and Dissemination — Weight: 20 points

   a. Are the expected project benefits/results clear, realistic, and consistent with the objectives and purpose of the project? Are the anticipated outcomes of the proposed project likely to be achieved and will they significantly contribute to the acquisition and use of performance information in the state? (10 points)

   b. Does the proposal include a plan for dissemination, which is likely to promote a timely awareness among interested parties of the project's activities and events during salient stages of the project? Is this plan adequate for disseminating the project products to all appropriate audiences? (10 points)

4. Level of Effort: Weight: 20 points

   a. Do the proposed project director(s), key staff and consultants have the background, experience, and other qualifications required to carry out their designated roles? Is the time commitment of the proposed director sufficient to assure proper direction and management of the project? Is the time commitment of other key staff sufficient to assure completion of the tasks proposed for the project? (10 points)

   b. Is the budget justified with respect to the adequacy and reasonableness of resources requested? Are budget line items consistent with workplan objectives? (10 points)

VI. SUBMISSION OPTIONS AND APPLICATION COMPONENTS

Applicants have the option of mailing, hand delivering, or electronically submitting their grant application.

If you elect to submit your application electronically, follow the instructions at: http://www.aoa.gov/egrants.

If you elect to mail or hand deliver your application, you must submit **one original application and two copies**, plus a completed application checklist to AoA. The Checklist is included the Attachments. To expedite the processing of applications, we request that you arrange the components of your application in the following order:

1. SF 424 Note: The original copy of the application must have an original signature in item 18d on the SF 424.

2. SF 424A.

3. Separate Budget Justification (See Attachments for Sample Format).

4. SF 424B Note: Be sure to complete this form according to instructions and have it signed and dated by the authorized representative (see item 18d on the SF 424).

5. SF CD-511.

6. Copy of the applicant's most recent indirect cost agreement, as necessary.

7. Project Narrative with Work Plan (See Attachments for Sample Work Plan Format).

8. Organizational Capability Statement and Vitae for Key Project Personnel.

9. Letters of Commitment From Key Partners.

10. Completed Application Package Checklist

Mail or hand-deliver your application package to:

Department of Health and Human Services
Administration on Aging
Grants Management Division
330 Independence Avenue, SW
Cohen Bldg., Room 4260
Washington, DC   20201
Attention: Margaret A. Tolson, Director

ATTACHMENTS

Sample Budget Justification Format with Examples

Sample Budget Justification Format

Sample Work Plan Format

Application Package Checklist

Budget Justification, Page 1 – Sample Format with EXAMPLES

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Personnel	$40,000		$5,000	$45,000	Project Supervisor (name) = .3FTE @ $50,000/yr = $15,000 Project Director (name) = 1FTE @ $40,000 = $30,000
Fringe Benefits	$14,000	0	0	$14,000	Fringes on Supervisor and Director @ 28% of salary. FICA (7.65%) = $3,825 Health (12%) = $6,000 Dental (5%) = $2,500 Life (2%) = $1,000 Workers Comp Insurance (.75%) = $ 375 Unemployment Insurance (.6%) = $ 300
Travel	$3,000	0	$ 967	$3,967	Travel to Annual Grantee Meeting: Airfare: 1 RT x 2 people x $750/RT = $1,500 Lodging: 3 nights x 2 people x $100/night = $ 600 Per Diem: 4 days x 2 people x $40/day = $ 320 Out-of-Town Project Site Visits Car mileage: 3 trips x 2 people x 350 miles /trip x $ .365/mile = $ 767 Lodging: 3 trips x 2 people x 1 night/ trip x $50/night = $300 Per Diem: 3 trips x 2 people x 2days/trip x $40/day = $480

Budget Justification, Page 2 - Sample Format with EXAMPLES

Object Class Category	**Federal Funds**	*Non-Federal Cash*	**Non-Federal In-Kind**	*TOTAL*	Justification
Equipment	0	0	0	0	No equipment requested
Supplies	$1,500		$2,000	$3,500	Laptop computer for use in client intakes = $1,340 Consumable supplies (paper, pens, etc.) $100/mo x 12 months = $1,200 Copying $80/mo x 12 months = $, 960
Contractual	$200,000	$50,000	0	$250,000	Contracts to A,B,C direct service providers (name providers) adult day care contractor = $75,000 respite care contractor in home= $75,000 respite care contractor-NF = $50,000 personal care/companion provider = $50,000 See detailed budget justification for each provider (and then provide it!)

Budget Justification, Page 3 – Sample Format with EXAMPLES

Other	$10,000	$8,000	$19,800	$37,800	Local conference registration fee (name conference) = $ 200 Printing brochures (50,000 @ $ .05 ea) = $ 2,500 Video production = $19,800 Video Reproduction = $ 3,500 NF Respite Training Manual reproduction $3/manual x $2000 manuals = $ 6,000 Postage $150/mo x 12 months = $ 1,800 Caregiver Forum meeting room rentals $200/day x 12 forums = $ 2,400 Respite Training Scholarships = $1,600
Indirect Charges	0	0	0	0	None
<u>TOTAL</u>	$265,700	$60,800	$27,767	$354,267	

75% of Total Cost

(Federal $)

25% of Total Cost

(Required Match)

Budget Justification – Page 1 – Sample Format

Object Class Category	**Federal Funds**	**Non-Federal Cash**	**Non-Federal In-Kind**	**TOTAL**	Justification
Personnel					
Fringe Benefits					
Travel					
Equipment					

Budget Justification – Page 2 – Sample Format

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Supplies					
Contractual					
Other					
Indirect Charges					
TOTAL					

Project Work Plan, Page 1 – Sample Format

Goal:

Measurable Outcome(s):

Major Objectives	Key Tasks	Lead Person	Timeframe (Start and End Date by Month)											
1.														
2.														

Project Work Plan, Page 2 – Sample Format

Major Objectives	Key Tasks	Lead Person	Timeframe (Start and End Date by Month)											
			1	2	3	4	5	6	7	8	9	10	11	12
3.														
4.														

Project Work Plan, Page 3 – Sample Format

Major Objectives	Key Tasks	Lead Person	Timeframe (Start and End Date by Month)											
			1	2	3	4	5	6	7	8	9	10	11	12
5.														
6.														

NOTE: Please do note infer from this sample format that your work plan must have 6 major objectives. If you need more pages, simply repeat this format on additional pages.

Grant Application Package Checklist

The checklist below identifies the items that must be included in your mail-in application submission. Please check-off each item to ensure your submission is complete, and includes a copy of the completed checklist in your application package. The components of your submission should be ordered in the same sequence as the items listed below.

I have checked my application package to ensure that it includes:

- ❑ One original application plus two copies, with the SF 424 as the first page of each copy of the application.
- ❑ SF 424.
- ❑ SF 424A.
- ❑ Budget Justification.
- ❑ SF 424B.
- ❑ SF CD-511. Be sure this form is completed according to the instructions, signed and dated by the authorized representative (see item 18d on SF 424).
- ❑ A copy of the current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency.
- ❑ Project Narrative.
- ❑ Completed Grant Application Package Checklist
- ❑ Receipt of Application Acknowledgement Card (Optional)